

10/587882

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Noriaki HORII et al. : **Mail Stop: PCT**  
Serial No. NEW : Attorney Docket No. 2006\_1162A  
Filed August 1, 2006 :  
\_\_\_\_\_

INFORMATION RECORDING  
MEDIUM AND INFORMATION  
PROCESSING APPARATUS  
**[Corresponding to PCT/JP05/003396**  
**Filed March 1, 2005]**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450



Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- each U.S. Patent and U.S. Patent application publication;
- each reference previously cited in the international application PCT/\_\_\_\_\_; and/or
- each reference previously cited in prior parent application Serial No. \_\_\_\_\_.

1a.  This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

- 1b.  This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1)  the certification of paragraph 2 below is provided, or  
(2)  the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c.  This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a.  that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b.  that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

WILCOX'S/PCT/PTO 01 AUG 2006

3.  Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a.  a full or partial English language translation submitted herewith,
  - b.  the International Search Report (in the English language) submitted herewith,
  - c.  the concise explanation contained in the specification of the present application at page,
  - d.  the concise explanation set forth in the attached English language abstract,
  - e.  the concise explanation set forth below or on a separate sheet attached to the reference:  
U.S. 5,729,516 corresponds to JP 09-245438  
U.S. 6,636,474 and EP 0 892 404 correspond to JP 11-86455  
U.S. 5,856,958 and EP 0 777 227 correspond to WO 96/38842
5.  A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Noriaki HORII et al.

By Charles R. Watts  
Charles R. Watts  
Registration No. 33,142  
Attorney for Applicants

CRW/jmj  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
August 1, 2006

## INFORMATION DISCLOSURE STATEMENT

FORM PTO 1449 (modified)

ATTY DOCKET NO.  
2006\_1162ASERIAL NO.  
NEW **10/587882**U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: August 1, 2006

APPLICANT  
Norioaki HORII et al.

1A5 Recd PCT/PTO 01 AUG 2006

FILING DATE  
August 1, 2006GROUP  
2431

## U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE    | NAME          | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|----|-----------------|---------|---------------|-------|----------|----------------------------|
|                   | AA | 5,729,516       | 3/1998  | Tozaki et al. |       |          |                            |
|                   | AB | 6,636,474       | 10/2003 | Tanaka et al. |       |          |                            |
|                   | AC | 5,856,958       | 1/1999  | Yokota et al. |       |          |                            |
|                   | AD | 6,219,488       | 4/2001  | Mori et al.   |       |          |                            |
|                   | AE |                 |         |               |       |          |                            |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO |
|--|----|-----------------|---------|---------|-------|----------|--------------------|
|  | AE | 11-328867       | 11/1999 | JP      |       |          | Full & Abst.       |
|  | AC | 2000-173182     | 6/2000  | JP      |       |          | Full & Abst.       |
|  | AH | 2003-179852     | 6/2003  | JP      |       |          | Part. & Abst.      |
|  | AI | 2002-367292     | 12/2002 | JP      |       |          | Part. & Abst.      |
|  | AJ | 09-245438       | 3/1998  | JP      |       |          | Abstract           |
|  | AK | 11-086455       | 3/1999  | JP      |       |          | Abstract           |
|  | AJ | 0 892 404       | 1/1999  | EP      |       |          |                    |
|  | AM | 96/38842        | 12/1996 | WO      |       |          | Abstract           |
|  | AN | 0 777 227       | 6/1997  | EP      |       |          |                    |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|    |  |
|----|--|
| AO |  |
| AP |  |
| AQ |  |

EXAMINER /Syed Zia/ DATE CONSIDERED 06/15/2009

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /SZ/